

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Mitsuhiro Ohkubo, et al.

Serial No. 10/565,326

Filed: January 20, 2006

For: INDOLOPYRROLOCARBAZOLE DERIVATIVES AND
ANTI-TUMOR AGENTArt Unit: To be determinedExaminer: To be determined

Commissioner for Patents
 P.O. Box 1450
 Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT
 UNDER 37 CFR 1.97**

Sir:

1. In compliance with 37 C.F.R. 1.97, submitted on the attached form herewith is a list of patents, publications or other information which are requested to be made of record in this application. This Information Disclosure Statement is not an admission that any patent, publication or other information referred to herein is "prior art" for this invention.
2. In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b).
3. Applicants respectfully request that the Examiner initial the attached form after reviewing the pertinence of each reference.
4. Pursuant to 37 C.F.R. 1.98 (a)(2)(ii), copies of each cited U.S. patent and each U.S. patent application publication are not enclosed herewith.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on the date appearing below.

MERCK & CO., INC.

By  Date 8/1/06

INFORMATION DISCLOSURE STATEMENT

5. Pursuant to 37 C.F.R. 1.98(d), copies of references listed on the attached form that were submitted to or cited by the Office in a related application upon which the instant application relies for an earlier filing date under 35 U.S.C. 120 are not enclosed. Related application(s) in which references were submitted to or cited by the Office are as follows:

RELATED APPLICATION		
U. S. SERIAL NUMBER	FILING DATE	MERCK CASE

If this is inconvenient, additional copies will be submitted upon request.

6. In accordance with 37 C.F.R. 1.97, (check one)

the attached information is filed within three months of the filing date of the captioned case.

the attached information is filed more than three months after the filing date but prior to the mailing of a first Office Action on the merits.

the attached information is filed before the mailing of a first Office action after the filing of a request for continued examination under §1.114.

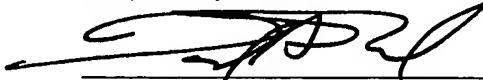
the attached information is being filed more than three months after the filing date and after the mailing of a first Office Action on the merits, but before the mailing date of a Final Action, Notice of Allowance, or an action that otherwise closes prosecution in the application. The enclosed authorization is therefore given to charge Deposit Account No. 13-2755 for the fee required under 37 C.F.R. 1.17(p).

each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart application and *this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.*

no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated under 37 C.F.R. 1.56(c) more than three months prior to the filing of this Statement.

Respectfully submitted,



By: David A. Muthard

Attorney For Applicant(s)

Reg. No. 35,297

MERCK & CO., INC.

Patent Dept., RY60-30

P.O. Box 2000

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(732)594-3903

Date: August 1, 2006



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Mitsuru Ohkubo et al.	Art Unit:	<u>To be determined</u>
Serial No.:	10/565,326	Case No.:	BY0019YP
Filed:	January 20, 2006	Examiner:	<u>To be determined</u>
For:	INDOLOCARBAZOLE DERIVATIVE AND ANTI-TUMOR AGENT		

Commissioner of Patents
P.O. Box 1450
Alexandria, Virginia 22313

EXPLANATION OF RELEVANCE OF NON-ENGLISH DOCUMENTS UNDER 37 C.F.R. 1.98(a)(3)(i)

Sir:

Applicants respectfully note that two (2) of the documents listed on the USPTO 1449 for submitted herewith is not in the English language and a copy of an English translations of that documents is not within the possession, custody or control of Applicants, and, to the Applicants knowledge, is not readily available. Below is a concise explanation of the relevance of those non-English documents:

The Japanese patent publication JP 6-128283 discloses preparation of a series of 5H-indolo[2,3-a]pyrrolo[3,4-c]carbazol-5,7(6H)-dione compounds having a substituted amine substituent on the amine of the fused carbazole dione ring. The compounds disclosed therein are described as anti-tumor compounds. There is no specific disclosure in the JP 6-128283 publication of pyridylalkylamine, furylalkylamine or thienylalkylamine substituents on the amine of the fused carbazol dione ring.

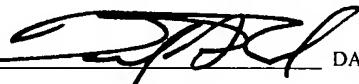
The PCT patent publication WO96/04293 discloses preparation of a series of 5H-indolo[2,3-a]pyrrolo[3,4-c]carbazol-5,7(6H)-dione compounds having a substituted amine substituent on the amine of the fused carbazole dione ring. The compounds disclosed therein are described as anti-tumor compounds. There is no specific disclosure in the WO96/04293 publication of pyridylalkylamine, furylalkylamine or thienylalkylamine substituents on the amine of the fused carbazol dione ring.

The instant invention discloses a series of 5H-indolo[2,3-a]pyrrolo[3,4-c]carbazol-5,7(6H)-dione compounds having pyridylalkylamine, furylalkylamine or thienylalkylamine substituents on the amine of the fused carbazol dione ring, wherein the pyridyl, furyl and thienyl moieties are not further substituted.

CERTIFICATE OF MAILING

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MERCK & CO., INC.

By: 

DATE: 8/1/06

Respectfully submitted,

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Date: August 1, 2006

<p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE</p> <p>STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p> <p style="text-align: center;">AUG 07 2006</p> <p style="text-align: center;">U.S. PATENT & TRADEMARK OFFICE</p>		COMPLETE IF KNOWN	
		Application Number	10/565,326
		Filing Date	January 20, 2006
		First Named Inventor	Mitsuru Ohkubo
		Group Art Unit	To be determined
		Examiner Name	To be determined
Sheet	1	of	2
		Attorney Docket Number	

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

Attorney Docket Number

BY0019YP

NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
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